

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

TERRY VICTOR CLAPP

Serial No.: 10/576,596

Filed: April 21, 2006

For: METHOD AND APPARATUS FOR  
TRANSFORMING OPTICAL WAVE MODES

Confirmation No.: 4092

Group Art Unit: Unknown

Examiner: Unknown

Attorney Docket: 2143.000400/KDG  
(SKG/G21945US)

CUSTOMER NO. 23720

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS  
DATED NOVEMBER 3, 2006**

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In response to the Notification of Missing Requirements dated November 3, 2006, there are enclosed herewith:

- (a) Declaration; and
- (b) Copy of Notification of Missing Requirements.

The Director is authorized to deduct the required fee under 37 C.F.R. §§ 1.16 to 1.21 relating to the enclosed materials from Williams, Morgan & Amerson, P.C. Deposit Account No. 50-0786/2143.000400KG.

Respectfully submitted,

WILLIAMS, MORGAN & AMERSON, P.C.  
CUSTOMER NO. 23720

November 28, 2006

/Kenneth D. Goodman/  
Kenneth D. Goodman  
Reg. No. 30,460  
10333 Richmond, Suite 1100  
Houston, Texas 77042  
(713) 934-4094

ATTORNEY FOR APPLICANT

Kob



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/576,596	Terry Victor Clapp	2143000400KDG

INTERNATIONAL APPLICATION NO.

PCT/GB04/04420

I.A. FILING DATE PRIORITY DATE

10/19/2004

10/23/2003

23720

WILLIAMS, MORGAN & AMERSON  
10333 RICHMOND, SUITE 1100  
HOUSTON, TX 77042

*Missing Requirements*  
DOCKETED  
FOR 11/3/07  
BY  
C/2007

CONFIRMATION NO. 4092

371 FORMALITIES LETTER



\*OC000000021097113\*

Date Mailed: 11/03/2006

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 04/21/2006
- Copy of the International Search Report filed on 04/21/2006
- Information Disclosure Statements filed on 04/21/2006
- U.S. Basic National Fees filed on 04/21/2006
- Priority Documents filed on 04/21/2006
- Specification filed on 04/21/2006
- Claims filed on 04/21/2006
- Abstracts filed on 04/21/2006
- Drawings filed on 04/21/2006

DOCKETING DEPT.

NOV 06 2006

WILLIAMS, MORGAN &amp; AMERSON

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

## SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$130** for a Large Entity:

- \$130 Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

VONDA M WALLACE

Telephone: (703) 308-9140 EXT 225

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/576,596	PCT/GB04/04420	2143000400KDG